

PATENT  
Docket No.: 176/60088 (6-11406-600)

JG974 U.S. PTO  
09/05/01  
06/05/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant :	Howard Federoff	)	Examiner:	
Serial No. :	Continuation of 08/747,328	)	J. Martin	
Cnfrm. No. :	To Be Assigned	)	Art Unit:	
Filed :	Herewith	)		1632
For :	PRODUCTION OF SOMATIC MOSAICISM IN MAMMALS USING A RECOMBINATORIAL SUBSTRATE	)		)
		)		)

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §§ 1.97-1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

**Box: Patent Application**

Dear Sir:

Pursuant to 37 CFR §§ 1.97-1.98, applicant hereby brings to the attention of the United States Patent and Trademark Office, the enclosed references listed on the attached PTO-1449 form.

Pursuant to 37 CFR § 1.98(d), the references identified on the attached PTO-1449 form are not provided, because these references either were previously cited by or submitted to the PTO in parent U.S. Patent Application Serial No. 08/747,328, filed November 12, 1996, of which this application claims priority under 35 USC § 120.

Respectfully submitted,

Date: May 11, 2001

  
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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 176/60088 (6-11406-600)	SERIAL NO. Continuation of 08/747,328
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (use several sheets if necessary)  (PTO-1449 )		APPLICANT Howard Federoff	
		FILING DATE Herewith	GROUP ART UNIT 1632

169/854869 PRO  
169/854869  
C5/14

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
dc	1 4,959,317	09/25/1990	Sauer			
dc	2 5,527,695	06/18/1996	Hodges et al.			
dc	3 5,962,315	10/05/99	Beach			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION IF APPROPRIATE

## OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)

dc	4	Dale et al., "Gene Transfer With Subsequent Removal of the Selection Gene from the Host Genome," <u>Proc. Natl. Acad. Sci. U.S.A.</u> , 88:10558-10562 (1991)
	5	Jayram, "Mechanism of Site-Specific Recombination: The Flp Paradigm," <u>Nucleic Acids and Molecular Biology</u> , 8:268-286 (1994)
	6	Smith et al., "A Site-Directed Chromosomal Translocation Induced in Embryonic Stem Cells by Cre-loxP Recombination," <u>Nature Genetics</u> , 9:376-385 (1995)
	7	Lasko et al., "Targeted Oncogene Activation by Site-Specific Recombination in Transgenic Mice," <u>Proc. Nat'l Acad. Sci. USA</u> , 89:6232-36 (1992)
dc	8	Orban et al., "Tissue- and Site-Specific DNA Recombination in Transgenic Mice," <u>Proc. Nat'l Acad. Sci. USA</u> , 89:6861-65 (1992)

EXAMINER

*Deborah Crench*

DATE CONSIDERED

*5/23/03*

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (use several sheets if necessary)  (PTO-1449 )		ATTY. DOCKET NO. 176/60088 (6-11406-600)	SERIAL NO. Continuation of 08/747,328
		APPLICANT Howard Federoff	
		FILING DATE Herewith	GROUP ART UNIT 1632

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION IF APPROPRIATE

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)

<i>de</i>	9	K. Araki et al., "Site-Specific Recombination of a Transgene in Fertilized Eggs by Transient Expression of Cre Recombinase," <u>Proc. Natl. Acad. Sci. U.S.A.</u> , 92: 160-164 (1995)
	10	Baubonis et al., "Genomic Targeting with Purified Cre Recombinase," <u>Nucleic Acids Research</u> Vo. 21, No. 9 2025-2029 (1993)
	11	Wall J. R., "Transgenic Livestock: Progress and Prospects for the Future," <u>Theriogenology</u> 45: 57-68 (1996)
	12	Orkin et al., "Report and Recommendations of the Panel to Assess the NIH Investment in Research on Gene Therapy," Distributed by the National Institutes of Health, Bethesda MD (12/07/95)
	13	Krimpenfort et al., "Generation of Transgenic Dairy Cattle Using 'In Vitro' Embryo Production," <u>Bio/Technology</u> 9:844-847 (1991)
	14	O' Gorman et al., "Recombinase-Mediated Gene Activation and Site-Specific Integration in Mammalian Cells," <u>Science</u> 251: 1351-1355 (1991)
	15	Bradley et al., "Modifying the Mouse: Design and Desire," <u>Bio/Technology</u> 10:534-539 (1992)
	16	Hogan et al., "Manipulating the Mouse Embryo," <u>Cold Spring Harbor Publishing</u> pp. 88 and 188 (1986)
<i>de</i>	17	Sambrook et al., "Molecular Cloning : A Laboratory Manual," <u>Cold Spring Harbor Laboratory Press</u> pp. 9.31-9.57 and 18.60-18.61 (1989)

EXAMINER

*Deborah Conch*

DATE CONSIDERED

*5/22/03*

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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. <b>176/60088 (6-11406-600)</b>	SERIAL NO. <b>09/854,869</b>
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT <b>Howard Federoff</b>	
(use several sheets if necessary)  (PTO-1449 )		FILING DATE <b>May 14, 2001</b>	GROUP ART UNIT <b>1632</b>

## **U.S. PATENT DOCUMENTS**

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**OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)**

		2	Mukherjee et al., "Somatic Gene Delivery to Generate Gain of Function NGF Mosaicism," <i>Society for Neuroscience Abstracts</i> 21:1-3 (1995)
		3	Gu et al., "Independent Control of Immunoglobulin Switch Recombination at Individual Switch Regions Evidenced Through Cre-loxP-Mediated Gene Targeting," <i>Cell</i> 73:1155-1164 (1993)
		4	Pichel et al., "Timing of SV40 Oncogene Activation by Site-Specific Recombination Determines Subsequent Tumor Progression During Murine Lens Development," <i>Oncogene</i> 8:3333-3342 (1993)
		5	Anton et al., "Site-Specific Recombination Mediated by an Adenovirus Vector Expressing the Cre Recombinase Protein: A Molecular Switch for Control of Gene Expression," <i>Journal of Virology</i> 69(8):4600-4606 (1995)
		6	Rohlmann et al., "Sustained Somatic Gene Inactivation by Viral Transfer of Cre Recombinase," <i>Nature Biotechnology</i> 14(11): 1562-1565 (1996)
		7	Brooks et al., "Nerve Growth Factor Somatic Mosaicism Produced by Herpes Virus-Directed Expression of Cre Recombinase In Mice Harboring a Recombinational Substrate," <i>Society for Neuroscience Abstracts</i> 22(1-3):303 (abstract only)

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Aborah Cronk

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5722/05

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